



PTO/SB/08 (10-92)  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Form 1449

**INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION**

Sheet 1 of 8

Application Number:  
Filing Date:  
First Named Inventor: Waggle et al.  
Group Art Unit: 1651  
Examiner Name: Ware, D.  
Attorney Docket Number: SP-1159C.2

**U.S. PATENT DOCUMENTS**

Examiner Initials	Cite No.	Document Number	Pub. Date	Name	Class	Subclass
OKW		5,320,949	06/14/94	Shen	435	68.1
		5,352,384	10/04/94	Shen	252	398
		5,637,561	04/20/95 PCT	Shen et al.	514	2
		5,637,562	04/20/95 PCT	Shen et al.	514	2
		3,870,805	03/11/75	Hayes et al.	426	148
		4,428,876	01/31/84	Iwamura	260	123.5
		5,141,746	08/25/92	Fleury et al.	424	195.1
		5,506,211	04/09/96	Barnes et al.	514	27
		4,157,984	06/12/79	Zilliken	252	407
		4,889,921	12/26/89	Diosady et al.	530	377
		5,569,459	10/29/96	Shlyankevich	424	195.1
		5,516,528	05/14/96	Hughes et al.	424	464
		5,654,011	08/05/97	Jackson et al.	424	514
		6,136,349	10/24/00	Karppanen et al.	426	2
OKW		6,113,972	09/05/00	Corliss et al.	426	613

Examiner Signatur	<i>Derek K. Ware</i>	Date Considered	6-22-04
----------------------	----------------------	--------------------	---------



Form 1449

PTO/SB/08 (10-92)  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCEINFORMATION DISCLOSURE CITATION  
IN AN APPLICATIONSheet 2 of 8Application Number:  
Filing Date:  
First Named Inventor: Waggle et al.  
Group Art Unit: 1651  
Examiner Name: Ware, D.  
Attorney Docket Number: SP-1159C2U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.	Document Number	Pub. Date	Name	Class	Subclass
Stew		5,670,632	09/23/97	Chaihorsky	536	8
		5,679,806	10/21/97	Zheng et al.	549	403
		5,821,361	11/03/98	Waggle et al.	514	182
		5,830,887	11/03/98	Kelly	514	182
		5,726,034	03/10/98	Bryan et al.	435	68.1
		5,589,182	12/31/96	Tashiro et al.	424	423
		5,763,389	06/09/98	Shen et al.	514	2
		5,851,792	12/22/98	Shen et al.	435	68.1
		5,855,892	01/05/99	Potter et al.	424	195.1
		5,827,682	10/27/98	Bryan et al.	435	68.1
		4,298,539	11/03/81	Koskenniska et al.	260	397.25
Stew		4,265,824	05/05/81	Koskenniska et al.	260	397.25

Examiner Signature		Date Considered	6-22-04
--------------------	--	-----------------	---------



PTO/SB/08 (10-92)  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Form 1449

**INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION**

Sheet 3 of 8

Application Number:  
Filing Date:  
First Named Inventor: Waggle et al.  
Group Art Unit: 1651  
Examiner Name: Ware, D.  
Attorney Docket Number: SP-1159C.2

**FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No.	Document Number	Pub. Date	Country	Class	Subclass
2/20		JP 1-258669	10/16/89	Japan		
		PCT WO 93/23069	11/25/93	World		
		JP 8214787A	08/27/96	Japan		
		EPO 647408A1	04/12/95	Europe		
		JP 04-266898A	09/22/92	Japan		
		JP 5170756A	07/09/93	Japan		
		JP 62-036163A	02/17/87	Japan		
		WO 97/07811	03/06/97	World		
		JP 4-283518 A1	10/08/92	Japan		
		JP 90-23822A	01/29/97	Japan		
		JP 82-83283A	10/29/96	Japan		
		PCT WO 96/10341 A1	04/11/96	World		
		JP 6287554A	10/11/94	Japan		
2/20		WO 00/30663	06/02/00	World		
		WO 00/30665	06/02/00	World		

Examiner Signature	<i>John H. Ware</i>	Date Considered	6/22/04
-----------------------	---------------------	--------------------	---------



PTO/SB/08 (10-92)  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Form 1449

**INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION**

Sheet 4 of 8

Application Number:  
Filing Date:  
First Named Inventor: Waggle et al.  
Group Art Unit: 1651  
Examiner Name: Ware, D.  
Attorney Docket Number: SP-1159C.2

**FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No.	Document Number	Pub. Date	Country	Class	Subclass
<i>DK</i>	34	JP 53-28929 A	12/14/93	Japan		
	35	JP 40-36242 A	02/06/92	Japan		
	36	JP 30-47049 A	02/28/91	Japan		
	37	JP 63245648A	10/12/88	Japan		
	38	JP 62126186A	06/08/87	Japan		
	39	JP 59-232052A	12/26/84	Japan		
	40	JP 59-137421A and JP 40-34526B	08/07/94	Japan		
	41	JP 59-085265A	05/17/84	Japan		
	60	JP 48010076A and JP 74027872B	07/22/74	Japan		
<i>DK</i>	69	JP 21-60722A	06/20/90	Japan		

Examiner Signature	<i>Deborah K. Ware</i>	Date Considered	<i>6/22/04</i>
-----------------------	------------------------	--------------------	----------------



PTO/SB/08 (10-92)  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Form 1449

**INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION**

Sheet 5 of 8

Application Number:  
Filing Date:  
First Named Inventor: Waggle et al.  
Group Art Unit: 1651  
Examiner Name: Ware, D.  
Attorney Docket Number: SP-1159C. 2.

**OTHER DOCUMENTS**

Examiner Initials	Cite No.	AUTHOR, Title, Book/Magazine/Journal/Article/Symposium/Catalog, Volume, Issue, Pages, Date
Ok	10	<u>Determination of isoflavones in soybean flours, protein concentrates, and isolates</u> , ELDRIDGE, J. Agric. Food Chem., Vol. 30, pp. 353-55 (1982)
	14	<u>Objectionable Flavor of Soy Milk Developed during the Soaking of Soybeans and its Control</u> , MATSURRA, OBATA, FUKUSHIMA, J. Food Science, Vol. 54, No. 3, pp. 602-05 (1989)
	15	<u>Isoflavone Content in Commercial Soybean Foods</u> , WANG AND MURPHY, J. Agric. Food Chem., Vol. 42, No. 8, pp. 1666-73 (1994)
	16	<u>Control of Serum Lipids with Soy Protein</u> , ERDMAN, New England J. of Med., Vol. 333, No. 5, pp. 313-15 (August 3, 1995)
	17	<u>Soy in the Spotlight</u> , KUHN, Food Process., Vol. 57, No. 5, pp. 52-58 (1996)
	28	<u>Studies on the Mechanism of the Cholesterol Lowering Activity of Soy Proteins</u> , LOVATI et al., Nutr. Metab. Cardiovasc. Dis., Vol. 1, pp. 18-24 (1991)
	29	<u>Quantitation of Phytoestrogens in Legumes by HPLC</u> , FRANKE et al., J. Agric. Food Chem., Vol. 42, pp. 1905-13 (1994)
	46	<u>Genistein, Daidzein, and Their <math>\beta</math>-Glycoside Conjugates: Antitumor Isoflavones in Soybean Foods from American and Asian Diets</u> , COWARD et al., J. Agric. Food Chem., 41:1961-67; (1993).
Ok	48	<u>Dietary Carbohydrates and Low Cholesterol Diets: Effects on Serum Lipids of Man</u> ; HODGES et al.; The American Journal of Clinical Nutrition; Vol. 20, No. 2, pp. 198- 208; (February 1967)

Examiner Signature		Date Considered	6/22/04
-----------------------	---	--------------------	---------



PTO/SB/08 (10-92)  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Form 1449

**INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION**

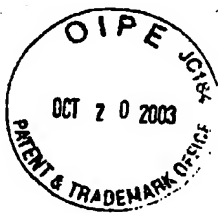
Sheet 6 of 8

Application Number:  
Filing Date:  
First Named Inventor: Waggle et al.  
Group Art Unit: 1651  
Examiner Name: Ware, D.  
Attorney Docket Number: SP-1159C.2

**OTHER DOCUMENTS**

Examiner Initials	Cite No.	AUTHOR, Title, Book/Magazine/Journal/Article/Symposium/Catalog, Volume, Issue, Pages, Date
JKW	51	<u>Meta-analysis of the Effects of Soy Protein Intake on Serum Lipids</u> , ANDERSON, JOHNSTONE, AND COOK-NEWELL, <i>New England J. of Med.</i> , Vol. 333, No. 5, pp. 276-82 (August 3, 1995)
	52	<u>Soy Isoflavones Enhance Coronary Vascular Reactivity in Atherosclerotic Female Macaques</u> , HONORE, WILLIAMS, ANTHONY AND CLARKSON, <i>Fertil. Steril.</i> , Vol. 67, No. 1, pp. 148-54 (January 1997)
	53	<u>Soy Protein and Serum Lipids</u> , POTTER; <i>Curr. Opin. Lipidol.</i> , Vol. 7, No. 4, pp. 260-64 (August 1996).
	54	<u>Soybean Isoflavones Improve Cardiovascular Risk Factors Without Affecting the Reproductive System of Peripubertal Rhesus Monkeys</u> , ANTHONY, CLARKSON, HUGHES, MORGAN AND BURKE, <i>J. Nutr.</i> , Vol. 126, No. 1, pp. 43-50 (January 1996).
	55	<u>Oxidized Low Density Lipoprotein-Mediated Activation of Phospholipase D in Smooth Muscle Cells: A Possible Role in Cell Proliferation and Atherogenesis</u> , NATARAJAN, SCRIBNER, HART AND PARTHASARATHY, <i>J. Lipid Res.</i>
	56	<u>Thrombotic Mechanisms in Atherosclerosis: Potential Impact of Soy Proteins</u> , WILCOX AND BLUMENTHAL, <i>J. Nutr.</i> , Vol. 125, Supp. 3, pp. 631s-638s (March 1995)
	57	<u>Biology of Atherosclerotic Plaque Formation: Possible Role of Growth Factors in Lesion Development and the Potential Impact of Soy</u> , RAINES AND ROSS, <i>J. Nutr.</i> , Vol. 125, Supp. 3, pp. 624s-630s (March 1995)
JKW	58	<u>A Soy Protein Isolate Rich in Genistein and Daizden and Its Effects on Plasma Isoflavone Concentrations, Platelet Aggregation, Blood Lipids, and Fatty Acid Composition of Plasma Phospholipid in Normal Men</u> , GOODERHAM, ADLERCREUTZ, OJALA, WAHALA AND HOLUB, <i>J. Nutrition</i> , Vol. 126/8, pp. 2000-06 (1996)

Examiner Signature	<i>Delbert Ware</i>	Date Considered	6/22/04
-----------------------	---------------------	--------------------	---------



PTO/SB/08 (10-92)  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Form 1449

**INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION**

Sheet 7 of 8

Application Number:

Filing Date:




First Named Inventor: Waggle et al.


Group Art Unit: 1651

Examiner Name: Ware, D.

Attorney Docket Number: SP-1159C.2

**OTHER DOCUMENTS**

Examiner Initials	Cite No.	AUTHOR, Title, Book/Magazine/Journal/Article/Symposium/Catalog, Volume, Issue, Pages, Date
	59	<u>The Nonhuman Primate Model of the Relationship Between Gonadal Steroids and Coronary Heart Disease</u> , CLARKSON, HUGHES AND KLEIN, <i>Progress in Cardiovascular Diseases</i> , Vol. 38/3, pp. 189-98 (1995)
	61	<u>Turnover of Very Low-Density Lipoprotein-Apoprotein B is Increased by Substitution of Soybean Protein for Meat and Dairy Protein in the Diets of Hypercholesterolemic Men</u> , HUFF et al., <i>Am. J. of Clin. Nutr.</i> , Vol. 39, pp.888-97 (June 1984)
	62	<u>Review of Clinical Studies on Cholesterol-Lowering Response to Soy Protein</u> , CARROLL, <i>J. Am. Dietetic Assoc.</i> , Vol. 91, No. 7, pp. 820-27 (1991)
	63	<u>Soybean Protein Diet Increases Low Density Lipoprotein Receptor Activity in Mononuclear Cells From Hypercholesterolemic Patients</u> , LOVATI et al., <i>J. Clin. Invest.</i> , Vol. 80, pp. 1498-1502 (1987)
	64	<u>Comparison of Actions of Soy Protein and Casein on Metabolism of Plasma Lipoproteins and Cholesterol in Humans</u> , GRUNDY & ABRAMS, <i>Am. J. Clin. Nutr.</i> , Vol. 38, pp. 245-52 (August 1983)
	65	<u>Overview of Proposed Mechanisms for the Hypocholesterolemic Effect of Soy</u> , POTTER, <i>J. Nutr.</i> , Vol. 125, pp. 606S-611S (1995)
	66	<u>Isoflavones and Hypercholesterolemia in Rats</u> , SHARMA, <i>Lipids</i> , Vol. 14, pp. 535-40, (1978)

Examiner Signature		Date Considered	6/22/04
-----------------------	---	--------------------	---------



PTO/SB/08 (10-92)  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Form 1449

**INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION**

Sheet 8 of 8

Application Number:

Filing Date:

First Named Inventor: Waggle et al.

Group Art Unit: 1651

Examiner Name: Ware, D.

Attorney Docket Number: SP-1159C.2

**OTHER DOCUMENTS**

Examiner Initials	Cite No.	AUTHOR, Title, Book/Magazine/Journal/Article/Symposium/Catalog, Volume, Issue, Pages, Date
JLW	67	<u>Effect of Legume Seeds on Serum Cholesterol</u> , <i>Nutrition Reviews</i> , Vol. 38, No. 4, pp. 159-60, (April 1980)
	68	<u>Effects of Postmenopausal Estrogen Replacement on the Concentrations and Metabolism of Plasma Lipoproteins</u> ; WALSH et al.; <i>The New England Journal of Medicine</i> ; Vol. 325, No. 17, pp. 1196-1204; (October 1991)
	70	<u>Soy Isoflavones Improve Systemic Arterial Compliance But Not Plasma Lipids in Menopausal and Perimenopausal Women</u> , NESTEL, P. et al., <i>Arteriosclerosis, Thrombosis and Vascular Biology</i> , 17(12):3392-3398, (December 1997)
	75	<u>Dietary Phytosterols: A Review of Metabolism, Benefits and Side Effects</u> ; LING et al.; <i>Life Sciences</i> ; Vol. 57, No. 3, pp. 195-206; (1995).
	76	<u>World Oilseeds - Chemistry, Technology, and Utilization</u> ; SALUNKHE et al.; <i>Van Nostrand Reinhold</i> ; pp. 10-13.
	77	<u>The Analysis of Fats and Oils</u> ; MEHLENBACHER; <i>The Garrard Press</i> ; pp. 589-592.
	78	<u>Highly Purified Soybean Protein Is Not Hypocholesterolemic in Rats but Stimulates Cholesterol Synthesis and Excretion and Reduces Polyunsaturated Fatty Acid Biosynthesis</u> ; MADANI et al.; <i>American Society for Nutritional Sciences</i> ; pp. 1084-1091; (1998)
JLW	79	<u>Plant Sterol-enriched Margarines and Reduction of Plasma Total and LDL-cholesterol Concentrations in Normocholesterolaemic and Mildly Hypercholesterolaemic Subjects</u> ; WESTSTRATE et al.; <i>European Journal of Clinical Nutrition</i> ; pp. 334-343; 1998)

Examiner Signature		Date Considered	6/22/04
-----------------------	--	--------------------	---------